

1. Name:

FORM S-5
Securities Department
600 E Boulevard Ave
Bismarck ND 58505
(701) 328-2910
www.ndsecurities.com

INSTRUCTIONS

The answers provided in this application are submitted **UNDER OATH.** Any applicant who willfully and contrary to such oath shall state or subscribe any material fact which he does not believe to be true is guilty of perjury and is punishable by imprisonment in the penitentiary. In addition, registration may be refused, suspended, or revoked if the applicant has filed an application which is incomplete in any material respect or contains any statement which was, in the light of the circumstances under which was made, false or misleading with respect to any material fact.

All questions in this application must be answered legibly, responsively, and fully, and failure to do so may result in rejection of the application. If additional space is required in which to answer a question, attach a separate sheet and specify the number of the question in response to which the answer is given.

Pursuant to the provisions of Section 10-04-10 of the North Dakota Century Code, as amended, the undersigned hereby applies for

TO THE SECURITIES COMMISSIONER OF THE STATE OF NORTH DAKOTA:

registration as a securities agent and submits the following SWORN answers to the questions contained herein:

(Last)				(First)		(Middle)	(Middle)	
Date of Birth:					Social Security Number	r:		
2. Indicate ar state.	ny other na	ame or name	es (including	maiden name) by which	you have been known	or which you have us	ed. If "none," so	
3. Business	address:	(Number & Stree	rt)	(City or Town)	(S	tate)	(Zip Code)	
4. Residence	address:							
		(Number & Stree	et)	(City or Town)	(S	tate)	(Zip Code)	
				osing to employ applicant				
		to be self-e g the name		ease indicate so below a r(s).	nd state the particular	security or securities y	ou propose to sell	
Self-employed: Yes ☐ No ☐				Securities and Issuer:				
BEGINNI the name	NG WITH under wh	I THE PRE	SENT and ss was cor	ord for the ten-year per continuing in chronolo aducted, location, and r or discharge.	gical order. Where s	elf-employment is a	pplicable, furnish	
From To		Familian	Address	Position	Reason for Leaving			
Month	Year	Month	Year	Employer	Address	Position	Reason for Leaving	

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8. Are you registered as a representative with the National Association of Securities Dealers (NASD)? Yes \(\subseteq \) No \(\subseteq \)
O Assessment to the second of the section of the se
9. Are you registered as a representative with a national stock exchange? Yes ☐ No ☐ If "yes," with which exchange are you registered and for how long have you been so registered?
10. Have you ever offered for sale or sold securities in the State of North Dakota prior to the date of this application? Yes □ No □ If "yes," explain fully.
11. List each state (including North Dakota) and province in which you are or have been registered as a dealer or agent to sell securities, specifying the date(s) of such registration(s).
12. Have you ever been denied or been given qualified authority to sell securities in any state or province? Yes \(\square \) No \(\square \)
13. Are you now or have you ever been subject to any revocation, cancellation, withdrawal, suspension, or any adverse order or directive of the NASD, any Canadian self-regulatory association, any securities exchange, or any state, provincial, or federal agency which has the power to revoke, suspend, or deny membership or registration? Yes No
14. Have you ever been permanently or temporarily enjoined by any court from engaging in or continuing any conduct or practice involving any aspect of the securities business? Yes □ No □
15. Has any broker or dealer with whom you were associated in any capacity when such action was taken ever had its membership or registration denied, canceled, suspended, or revoked or been the subject of any injunctive proceeding involving securities? Yes No
16. Have you ever been a direct or beneficial owner of 10% or more of the stock of or interest in or an officer of a securities dealer whose registration was denied, canceled, suspended, or revoked during such period of interest or employment? Yes □ No □

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17.	Have you ever been a subject of any arrests, informations, proor misdemeanor, except minor traffic offenses?	esentments, indictments, or convid	ctions for any felony Yes				
18.	Have you ever been charged with fraud in civil action?	Yes 🗌 No 🗌					
19.	Have you ever been barred or suspended from the practice	e of any business or profession?	Yes □ No □				
20.	(a) Have you ever been refused a surety or fidelity bond?	Yes □ No □					
	(b) Has any surety company paid out any funds on your co	Yes 🗌 No 🗌					
21.	Have you or any organization owned or controlled by you or in which you were or are an officer, director, or partner ever been the subject of an insolvency or bankruptcy proceeding? Yes No						
	IF YOUR ANSWER TO ANY ONE OF QUESTIONS 12-20 ABOVE IS "YES," FURNISH THE FOLLOWING INFORMATION ON A SEPARATE SHEET OF PAPER INCORPORATED AS A PART OF THIS APPLICATION: NAME OF FEDERAL, STATE, OR PROVINCIAL AGENCY, SECURITIES EXCHANGE, OR SECURITIES ASSOCIATION; NAME AND LOCATION OF BROKER OR DEALER WITH WHOM YOU WERE ASSOCIATED AND CAPACITY IN WHICH YOU WERE ASSOCIATED; DESIGNATION OF STATUTES, RULES, OR REGULATIONS WHICH YOU OR THE BROKER OR DEALER WITH WHOM YOU WERE ASSOCIATED WERE CHARGED WITH VIOLATING AND CHARGES MADE; NATURE AND DATE OF JUDGEMENT, DECISION, OR OTHER FINDINGS MADE, AND SANCTION IMPOSED.						
22.			Yes □ No □				
23. Please list any securities examinations that you have taken, the date(s) taken and the score(s) you obtained below.							
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23.	Please list any securities examinations that you have taken, the date EXAMINATION(S)	DATE(S) TAKEN	ed below. SCORE(S)				
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24.	APPLICANT HEREBY UNDERTAKES AND AGREES TO PROMPT TIME WHEN THE INFORMATION PROVIDED HEREIN IS OR BEC RESPECT AND TO PROMPTLY NOTIFY THE COMMISSIONER R SECURITIES FILED BY ANY PERSON AGAINST THE APPLICANT AGAINST THE APPLICANT BY THE EMPLOYING DEALER, THE	DATE(S) TAKEN LY FILE AMENDMENTS WITH THE COMES INACCURATE OR INCOMPLIEGARDING ANY COMPLAINT OR ACT OR OF ANY DISCIPLINARY ACTIONASD OR ANY STATE, PROVINCIAL	SCORE(S) COMMISSIONER AT ANY ETE IN ANY MATERIAL CTION INVOLVING N INSTITUTED OR TAKEN ., OR FEDERAL				
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State of)				
County of) ss.)				
The undersigned applicant, being first duly swapplication and knows the contents thereof and application and in any rider attached thereto are which, under the circumstances under which it is he has read and understands the securities laws	attached thereto true and correc made, would b	o; that to the best of t and are complete e false or would te	of his knowledge and e in every material res	belief the statements made in spect and do not contain any	n said statemen
		(Signature of Applicant)			
Subscribed and sworn to before me this _		da	y of	Year	
		County of	(Notary Public)	State of	
SEAL				State of	
	ENDODSEM	IENT OF APPLICA			
DI		SING TO EMPLO	_		
THEREFORE, in view of the showing does respectfully ask that be registered as a securities agent in conformity		(Dealer o			
Signed and sealed this	day of			Year	
at					
		(Dealer or is	ssuer proposing to em	nploy applicant)	
	Ву:	(President,	partner, or proprietor	of dealer or issuer)	